

Responsible Office: HQ Human Resources and Management Division, Code CP
Subject: **Quality System Training**



HEADQUARTERS PROCEDURES AND GUIDELINES

QUALITY SYSTEM TRAINING

Approved by:

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Date

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1.0 Purpose

This Headquarters Procedures and Guidelines (HQPG) establishes the procedure for identifying training needs and providing Quality System training for all NASA Headquarters employees.

2.0 Scope and Applicability

This HQPG applies to all Headquarters organizations involved in the products and processes covered by the scope of the Headquarter Quality System. NASA Headquarters provides three types of training — Quality System, developmental, and mandated, as defined below. Only Quality System training is covered by the scope of this HQPG. The requirements of this procedure are applicable to all new and reassigned NASA Headquarters employees.

3.0 Definitions

- 3.1 Developmental Training - All training provided which is not deemed as required or mandated. Developmental training is mutually beneficial in that it supports individual development and improves organizational effectiveness. Either the supervisor or employee may initiate developmental training plans. However, supervisors have the discretion to approve developmental training for employees in conjunction with applicable laws, regulations, policies, budget guidelines, organizational needs, and workload requirements.
- 3.2 Employee – For purposes of this HQPG, an employee is an individual who works at NASA Headquarters for a period of 90 days or more and is involved in the key products and processes of NASA Headquarters. This person could be assigned as a civil service employee, contractor, visiting professional, intergovernmental personnel assignee or detailee.
- 3.3 Employee Training Record - Records of all developmental training for NASA Headquarters' employees are maintained by NASA's Goddard Space Flight Center (GSFC), Office of Human Resources (OHR). Records and filing locations are identified in paragraph 7.
- 3.4 Headquarters Human Resources Management Division (Code CP) – The Headquarters division, which maintains responsibility for determining whether personnel are qualified prior to employment and reassignment.
- 3.5 Individual Development Planning (IDP) Process – Process by which developmental training is planned, approved, and completed by employees. While individual developmental planning is strongly encouraged, it is not required. Therefore, training identified through this process is out of scope of this HQPG.

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- 3.6 Mandated Training - Mandated training is directed, often as a result of regulatory requirements placed on the Agency, such as annual ethics, security, and safety awareness training. Mandated training may also be directed as a result of Agency or Headquarters initiatives. Authority and responsibility for directing mandated training is derived from NPD 3410.2 and resides with Headquarters managers of Agency-wide functions. Mandated training does not directly affect quality. Mandated training may be either global, applying to all Headquarters personnel, such as security and safety training, or specialized, applying only to certain functional areas, skill sets, or defined subsets of Headquarters personnel. Contracting Officer's Technical Representative (COTR), Biology Training, and Property Custodian Training are also examples of specialized mandated training.
- 3.7 NASA's GSFC OHR – The office, which takes the lead in coordinating all non-On-the-Job Training (OJT) for Headquarters employees and maintains all non-OJT records for Headquarters employees.
- 3.8 On-the-Job Training (OJT) – Non-classroom training that orients an employee to the HQ Quality System and related topics or focuses on performing job tasks to build skill proficiency. OJT is done under the guidance of the supervisor or someone experienced and fully qualified in that job or task.
- 3.9 Personnel Qualifications - Education, training, and/or experience which provides an individual with the necessary skills, knowledge, or credentials to perform the position's responsibilities.
- 3.10 Position Description - The document that describes the major duties, knowledge, skills, and abilities needed for a specific position.
- 3.11 Quality System Training – There are two levels of Quality System training—general, which defines the organizational structure, procedures, processes, and resources needed to implement quality management and organizational-specific Quality System training.
- 3.12 HQ Quality System OJT Record – A record that documents an employee's Quality System OJT (see Appendix A to locate NHQ Form 268).
- 3.13 Supervisor - The individual accountable to management for the quantity and quality of work performed by directly reporting employees and for ensuring efficient and economical work operations. The supervisor's functions include a range of duties and responsibilities for planning, organizing, assigning, and reviewing work; administering personnel matters; and dealing effectively with employees and union representatives on employee-management concerns.
- 3.14 Training – The process of providing knowledge and skills to employees. Training

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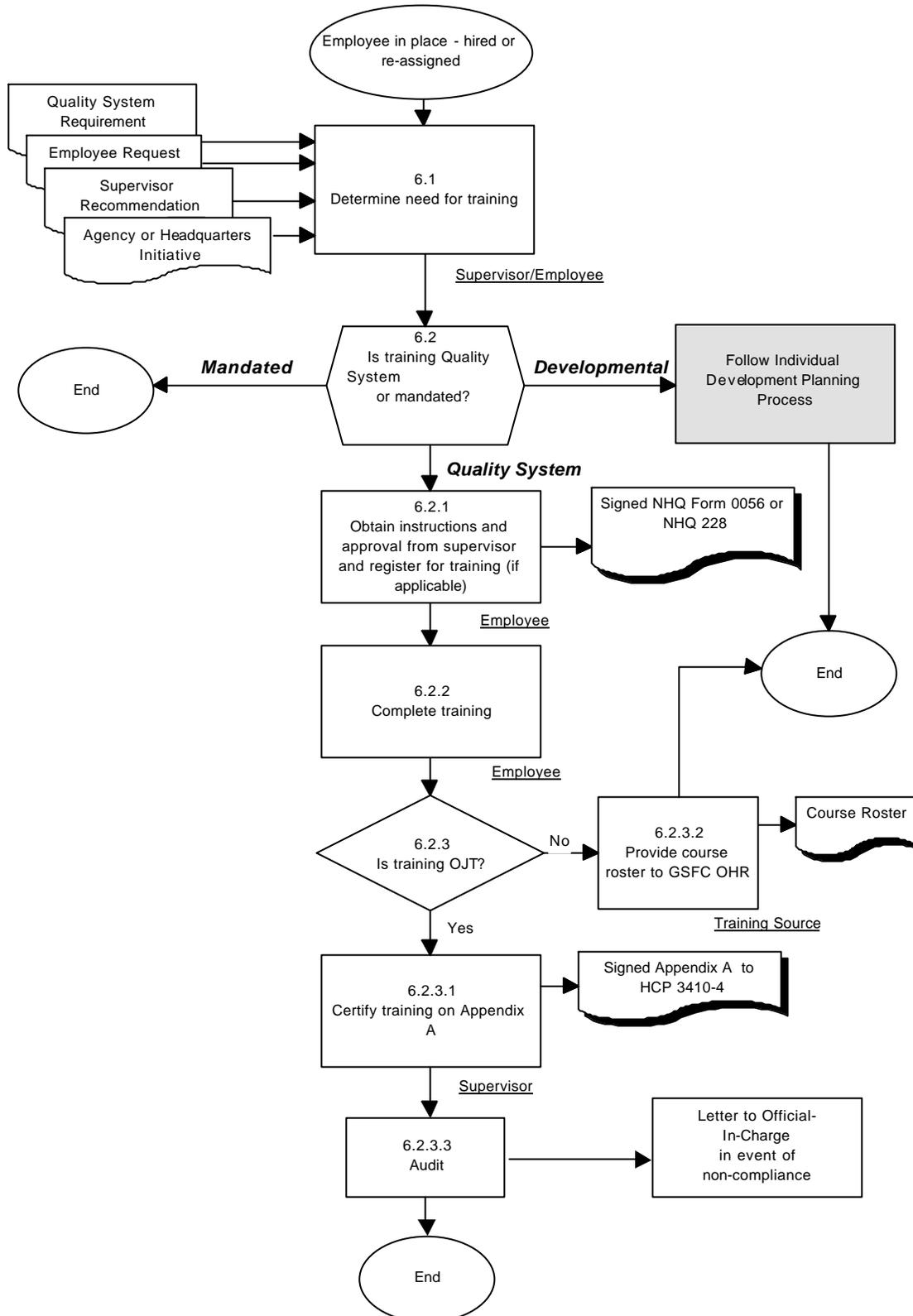
may include OJT; job-specific training, such as a series of instructions or proficiency demonstrations; or general training, such as a single training course, academic instruction, developmental assignment, or conference. The three types of training provided by NASA Headquarters are described above (Quality System, developmental, and mandated).

4.0 References

- 4.1 HQPD 1200.1, HQ Quality System Manual (HQSM)
- 4.2 NPD 3410.2, Employee and Organizational Development
- 4.3 NHQ Form 0056, Request, Authorization, Agreement and Certification of Training w/Instructions
- 4.4 NHQ Form 228, Application for In-House Training
- 4.5 Memorandum of Agreement (MOA) Between NASA's Office of Headquarters Operations (Code C) and the Goddard Space Flight Center
- 4.6 Service Level Agreement (SLA) Regarding the Transfer of NASA Headquarters Training and Development Activities for Headquarters Employees to NASA's Goddard Space Flight Center
- 4.7 Office of Personnel Management (OPM) Qualification Standards Handbook.

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5.0 Flowchart



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6.0 Procedure

<u>Number</u>	<u>Responsibility</u>	<u>Process Description</u>
6.0	Code CP	<p>The Headquarters Human Resources Management Division (Code CP) ensures that only qualified personnel are hired to perform the functions for which they will be assigned. This is performed through matching potential employee qualifications with education, training, and/or experience requirements, as well as duties of the position as described in the Position Description for the job. Records are maintained in accordance with HQ Human Resources Management Division Standard Operating Procedure: Qualifications for Employment and Training. The Office of Personnel Management (OPM) Qualification Standards Handbook describes the criteria for determining personnel that are qualified prior to hiring. The latest version of the handbook can be obtained at http://www.opm.gov/qualifications/index.htm.</p> <p>In addition, all permanent reassignments within NASA Headquarters are approved through Code CP to ensure that personnel being reassigned are qualified to fill the position. All non-NASA personnel shall be qualified, based on similar processes. For example, visiting professional support obtained under an Intergovernmental Personnel Agreement shall be qualified, based on matching position requirements with qualifications of potential candidates. The remainder of this HQPG focuses on training personnel in subject matters of particular importance to NASA Headquarters, once they are determined qualified and hired.</p>
6.1	Supervisor/ Employee	<p>Determine need for training. As stated in NPD 3410.2, "all managers and supervisors jointly share with their subordinates responsibility and accountability for their development and training." As a result, the need for Quality System or mandated training, or desire for developmental training, may be initiated by either the supervisor or employee. Non-OJT Quality System training and mandated training are scheduled according to published offerings. Timeframes are detailed in 6.2.2.</p>
6.2	Supervisor	<p>Is the training Quality System, developmental, or mandated per the definitions of training in 3.1 of this HQPG? If "mandated," this process ends; if "developmental," process goes out of scope to the Individual Development Planning Process; if "Quality System," go to 6.2.1. Note: While it is in the supervisor and employee's best interest to agree if training is required, the supervisor maintains the final authority to determine if training is required or not (subject to appeals to higher authorities).</p>
6.2.1	Employee	<p>Obtain instructions and approval from supervisor and register for training, if applicable. Each employee schedules the training with the training source per any instructions and approvals from the supervisor and/or training source. Three types of training forms shall be used, depending on the training source and nature of training. The training source shall provide guidance to employees on forms required for registration and to certify completion (which then become records). However, the following guidance applies to use of training forms:</p> <p><u>NHQ Form 0056</u> – generally used for formal training in which the benefiting NASA organization is charged a cost for the employee to attend.</p>

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Number	Responsibility	Process Description
		<p><u>NHQ Form 228</u> – generally used for any non-OJT in which the benefiting NASA organization is not charged (NHQ Form 268) for the employee to attend.</p> <p><u>Appendix A to HQPG 3410-4</u> – used for all Quality System OJT.</p>
6.2.2	Employee/ Supervisor	<p>Quality System training can be either OJT or more formal training, coordinated through the OHR. Discretion is left to the supervisor to determine which training is required and whether it takes the form of OJT or more formal training, coordinated through OHR. However, Appendix A lists the minimum-Quality System OJT for all individuals assigned to NASA Headquarters organizations for 90 days or more who will be involved in the key products and processes of NASA Headquarters. It also provides space for supervisors to list additional, organizational-specific required OJT. At a minimum, supervisors shall ensure the following:</p> <ol style="list-style-type: none">1) Appendix A includes all additional organizational-specific OJT required by the organization, and2) All individuals assigned to NASA Headquarters organizations who will be involved in the key products and processes of NASA Headquarters shall complete the Quality System OJT within 90 days of their assignment. <p>Note: Appendix A identifies two levels of Quality System OJT: Quality System Training (which is general and defines the organizational structure, procedures, processes, and resources needed to implement quality management) and organizational-specific Quality System training. General training may be fulfilled by requiring employees to read the applicable documents and demonstrate an understanding of the material through an open discussion with the supervisor. The content and format for organizational-specific training is left to the discretion of each organization. However, each organization shall ensure that the content and format of organizational-specific Quality System training is consistent for all employees within the organization to facilitate a common understanding.</p>
6.2.3	Supervisor	<p>Supervisors shall ensure that all non-OJT training deemed required by the organization is scheduled and completed by the employee at the earliest available time, given the criticality of the need and impact on product quality.</p>
6.2.3.1	Supervisor	<p>Supervisors shall promptly certify completion of the OJT using Appendix A (NHQ Form 268). The record is then kept with the supervisor's single-letter code organization in a location designated by the Associate/Assistant Administrator/Deputy of that organization. Records shall be maintained in conjunction with NPG 1441.1 and Section 7, Quality Records.</p>
6.2.3.2	Training Source (e.g., vendor)	<p>For non-OJT coordinated through GSFC OHR, the training source provides a course roster as a record of student Completion to GSFC OHR. NOTE: The SLA between HQ Code C and GSFC, referenced in Section 4.6, outlines the agreement for GSFC to execute training and developmental activities for Headquarters employees.</p>

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6.2.3.3	Code CF	<p>Audits of Headquarters Quality System Training will be conducted by the Office of Headquarters Operations subject to the following conditions:</p> <ol style="list-style-type: none">1) The HQ Quality System OJT Record (hereinafter referred to in this section as the NHQ 268 form) must be completed by all employees within 90 days after reporting on board at Headquarters. "Employee" is defined in Section 3.2 of this document. The Office of the Inspector General (Code W) is exempt. They do <u>not</u> complete NHQ 268 forms and will <u>not</u> be audited.2) When an employee transfers between single letter codes (such as from Code J to Code C), he/she must complete a new NHQ 268 form. In this case, the employee only has to complete the lower half of the form entitled "Organizational Specific OJT."3) The Office of Headquarters Operations will perform audits of 2 Headquarters codes every month continuously. The first audit began in March 2003. CPAS Representatives in each code will be asked to produce the NHQ 268 forms for all NASA Civil Servants who have been on board for more than 90 days. Since all NASA Civil Servants have at least one element of their Performance Plan that links to the NASA Strategic Plan they are all considered to be "Employees" for the purposes of this document. All Headquarters Codes will be audited.4) In auditing detailees from other Federal Agencies, IPA's, visiting professionals or contractors, the auditor will ask the codes to produce the NHQ 268 forms for those persons who are involved in producing Headquarters key products. The auditor will rely on the Supervisor's assessment of whether these persons are involved in the HQ Key products.5) Subsequent monthly audits in each code will examine all new employees who have been at Headquarters more than 90 days.6) In the event of non-compliance the Director of the Office of Headquarters Operations will send a letter to the Official in Charge of the respective organization informing them of the non-compliance.7) Records of audits will be maintained for two (2) years after completion of the audit. These are not Quality Records.

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7.0 Quality Records

<u>RECORD ID</u>	<u>OWNER</u>	<u>LOCATION</u>	<u>MEDIA: ELECTRONIC OR HARD COPY</u>	<u>SCHEDULE AND ITEM NUMBER</u>	<u>RETENTION AND DISPOSITION</u>
Course roster	GSFC OHR	GSFC OHR	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program
Appendix A to HCP 3410-4	Single-letter code organization	Single-letter code organization	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program
Signed NHQ 56 or 228	GSFC OHR	GSFC OHR	Hard copy	Schedule 3, Item 33F.1	Destroy when 5 years old or 5 years after completion of a specific training program

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Appendix A: REQUIRED HQ QUALITY SYSTEM OJT FORM

See URL <http://www.hq.nasa.gov/office/codec/codeci/help/forms/forms.htm>. For electronic access to NHQ Form 268, Required Headquarters Quality System On-the-Job Training (OJT)